

09/20/01
JC94 U.S. PTO

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I hereby certify under 37 CFR 1.10 that this correspondence is being deposited with the United States Postal Service as "Express Mail Post Office to Addressee" with sufficient postage on the date indicated above and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

Name: Melissa Scanzillo
Signature: Melissa Scanzillo
Clifford Chance Rogers & Wells LLP

Docket No. 6311-065

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION TRANSMITTAL

COMMISSIONER OF PATENTS
BOX PATENT APPLICATION
Washington, D.C. 20231

Sir:

Transmitted herewith for filing is a utility patent application

jc821 U.S. PTO
09/20/01
09/961026
09/20/01

Of: Barry McQuain
For: SECURITIES PRICING SYSTEM

ENCLOSED are the following:

1. Specification (14 pages), abstract (1 page), claims (6 pages) and cover sheet (1 page) (22 pages)
2. 2 sheets of formal informal drawings (Figs. 1-2)
Suggested Figure for Publication: 2
3. Declaration
 signed unsigned
 Copy from a prior application (for continuation/divisional)
4. Application Data Sheet
5. Preliminary Amendment
6. Information Disclosure Statement and PTO-1449
7. Assignment and Assignment Recordation sheet (*Fee calculated separately*)
8. The prior application is assigned to: _____
The assignment was recorded on _____ at reel _____ and frame _____.
 A copy of the assignment from the prior application is enclosed.

9. Non-Publication Request
10. Other:

NOTE the following:

11. This application is made under 37 C.F.R. § 1.53 (b) and is a
 Continuation Continuation-In-Part Divisional
of Prior Application No. _____ filed _____
12. An Extension of time is filed concurrently herewith for the parent application.

13. Small Entity Status:

- Applicant is a small entity
 Small entity status claimed in the parent application is no longer proper

14. Applicants claim priority from the following applications(s) under 35 U.S.C. § 119:

Serial Number Country Filing Date Certified Copy Encl.

15. Cancel claims _____ prior to calculation of the filing fee.

FILING FEE: calculated below (after accounting for any preliminary amendment or claims cancellations if noted above):

Basic Filing Fee			\$710.00
Total No. Claims 34	Extra Claims(Total-20) 14	Fee / claim \$18.00	\$252.00
Total No. Independent Claims 2	Extra Independ.(No.-3) 0	Fee / claim \$80.00	\$0.00
Multiple dependent claim?		+ \$280	\$0
Sub-Total			\$962.00
Small Entity? less 50%			-0.00
TOTAL FEE DUE			\$962.00

16. A check in the amount of is enclosed (must at least cover the basic fee).
 The Commissioner is authorized to charge \$962.00 in connection with this communication to Deposit Account No. 50-0521.

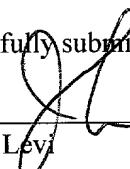
In the event that a petition for extension of time is required to be submitted in the pending prior application, and in the event that a separate petition for the pending prior application is not filed on even date, applicant hereby petitions under 37 C.F.R.1.136(a) for an extension of time in the pending prior application of as many months as are required to render this submission timely. The Commissioner is authorized to charge any fees due in connection with such a petition to Deposit Account No. 50-0521.

The Commissioner is authorized to charge any fee or additional fee due in connection with this communication to Deposit Account No. 50-0521.

A duplicate copy of this sheet is enclosed.

Date: 9/20/01

Respectfully submitted,


Joseph Levi
Reg. No. 41,152

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Patent Application transmittal
Docket No. 6311-065

NYA 374104.1